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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/865,802	05/24/2001	John C. Seibel	068082.0111	4516

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EXAMINER

CHANNAVAJJALA, SRIRAMA T

ART UNIT PAPER NUMBER

2166

DATE MAILED: 12/12/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/865,802

Applicant(s)

SEIBEL ET AL.

Examiner

Srirama Channavajjala

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 02 November 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1,2,5-7,10,11,14-16,19,22-24 and 28-32 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1,2,5-7,10,11,14-16,19,22-24 and 28-32 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |  |   |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)  | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>11/2/05</u> | 6) <input type="checkbox"/> Other: _____  |

**DETAILED ACTION**

***Response to RCE***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 11/2/2005 has been entered
2. Claims 1-2,5-7,10-11,14-16,19,22-24,28-32 are pending in this application
3. Claims 1,10 are amended [11/2/05].
4. Claims 31-32 have been added [11/2/05]
5. Claims 1,10 have been amended [5/31/2005].
6. Claims 20-21,25-27 have been cancelled [5/31/2005].
7. Claims 1 and 10 have been amended [9/23/2004].
8. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 9/23/2004 has been entered
9. Examiner acknowledges applicants amendment filed on 5/3/2004, paper no.10.

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10. In view of applicant's submission of terminal disclaimer, paper no. # 12-13, the Double Patent rejection set forth in the previous office action, paper no. # 8 is hereby withdrawn.

11. Examiner acknowledges applicant's "***Oath/Declaration***", filed on 5/3/2004.

12. Claims 3-4,8-9,12-13,17-18 have been cancelled, paper no. # 10.

13. Claims 19-30 have been added, paper no. # 10.

14. Examiner acknowledges applicants preliminary amendment filed on 9/26/2001, paper no. # 4

#### ***Drawings***

15. The drawings filed on 5/24/2001 are acceptable for examination purpose.

#### ***Information Disclosure Statement***

16. The information disclosure statement filed on 11/2/2005 is in compliance with the provisions of 37 CFR 1.97, and has been considered, and a copy is enclosed with this Office Action

17. The information disclosure statement filed on May 31,2005,June 16,2005, and Jan 28 2005 is in compliance with the provisions of 37 CFR 1.97, and has been considered, and a copy was enclosed with previous Office Action

18. The information disclosure statement filed on 9/23/2004 is in compliance with the provisions of 37 CFR 1.97, and has been considered, and a copy was enclosed with previous Office Action

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19. The information disclosure statement filed on 9/26/2001, 10/9/2003, paper no. # 11 has been considered and a copy was enclosed with this office action, paper no. # 14.

20. The information disclosure statement filed on 5/3/2004, paper no. # 6-7 has been considered and a copy was enclosed with this office action, paper no. # 8.

***Double Patenting***

21. Applicant submitted "Terminal Disclaimer" is "**NOT ACCEPTED**" because the following Application serial Numbers not listed in the form "***PTO/SB/25*** (09-04), instead listed as "**see Exhibit A**" attached to the Terminal Disclaimer form as received on November 02, 2005.

***Application Numbers:***

***09/865,804***

***09/865,805***

***09/865,735***

***09/862,814***

***09/862,832***

***09/971,334***

***09/970,563***

Applicant is hereby required to list above application serial numbers in the Terminal Disclaimer form ***PTO/SB/25***, in response to this office action.

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It is also noted in the cover sheet that Application No. 09/865,803, is wrong, it should be "09/865,802"

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

This application currently names joint inventors. In considering patentability of the claims under 35 U.S.C. 103(a), the examiner presumes that the subject matter of the various claims was commonly owned at the time any inventions covered therein were made absent any evidence to the contrary. Applicant is advised of the obligation under 37 CFR 1.56 to point out the inventor and invention dates of each claim that was not commonly owned at the time a later invention was made in order for the examiner to consider the applicability of 35 U.S.C. 103(c) and potential 35 U.S.C. 102(e), (f) or (g) prior art under 35 U.S.C. 103(a).

***22. Claims 1,5-7,10,14-16,19,22-24,28-30 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schein et al., [hereafter Schein], US Patent No. 6226623 in view of Gottsman et al. [hereafter Gottsman], US Patent No. 6134548.***

23. As to claims 1 and 10, Schein teaches a system which including 'a database

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server system, maintained by an application service provider (ASP), for contact data for potential customers of a business enterprise other than the ASP' [fig 1, col 8, line 26-32,, col 14, line 55-59, col 10, line 66-67], database server system corresponds to Schein's central database as detailed in col 8, line 31-32; contact data for potential customers corresponds to end-user customers; application service provider corresponds to Schein's service provider, fig 1, element 16;

'a business profiles system [col 8, line 37-38, col 10, line 47-53] for providing profile data associated with sales to existing customers of the business enterprise' [col 8, line 40-47, line 59-62], profile data corresponds to customer information that including name, account number, and other identifiers as detailed in col 8, line 40-47, line 59-62, also it is noted that Schein specifically teaches "customer demographic information about the customers i.e., customer's profile [see col 7, line 40-41];

'a data acquisition process for extracting the business profile [col 8, line 37-38, col 10, line 47-53] data from the enterprise's preexisting internal data sources' [col 8, line 62-67,col 17, line 47-59], Schein specifically suggests that customer information is being maintained in a database and further maintained additional relationship to form business services as detailed in col 17, line 47-52; enterprise corresponds to Schein's Bank;

'wherein the data sources comprises at least the following data associated with existing customers of the enterprise: customer data [col 10, line 66-67], sales data, marketing data, sales campaign data, account data' [col 17, line 60-67, col 18, line 3-5], Schein specifically teaches marketing, , package, and other legal relationships between

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customer and the bank , also customer leads and notes are incorporated in the marketing campaign as detailed in col 17, line 60-67]. It is also noted that Schein suggests account tier that contains information about customers and customer relationship to other accounts as detailed in col 18, line 3-5;

'a data mart for storing the extracted business profile data [fig 7, col 17, line 50-55], Schein suggests database maintains various attributes related to customers in the data model, specifically business related information;

'a prospects harvester system for providing contact data representing information about prospective customers of a product or service offered by the business enterprise [col 17, line 60-67, col 19, line 36-39, col 20, line 51-54];

'a data acquisition process for extracting Internet text documents [fig 3, fig 10-11,col 20, line 51-55], Schein specifically teaches TCP/IP protocol establishes electronic communication and messaging services including both structured and unstructured message services with respect to products or services, 'from unstructured Internet discussion sites selected from the group of newsgroups, discussion forms, and mailing lists' [col 15, line 45-52];

'wherein the unstructured Internet text sources are at least one of the following: newsgroups, discussion forums, and mailing lists' [col 15, line 16-20, line 53-56];

'a web server for receiving queries from the enterprise and for providing the response to the enterprise, via a web browser;[fig 13, col 22, line 17-24]



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wherein the business profiles system, the prospects harvester system, and the web server are operated by the ASP for use by multiple business enterprises'[col 16, line 42-45]

It is however, noted that Schein does not specifically teach 'collection of text documents generated by participants of the discussion site and broadcasted to multiple participants of the discussion site, 'a text archive for storing the extracted text documents; 'a text indexing server operable to index the text archive in accordance with both keywords contained in the text source and in accordance with contact data associated with the participants'; 'wherein the text indexing server is operable to receive queries from the business enterprise, each query representing a request for information about participants who are discussing a specified product or service; 'wherein the text indexing server is further operable to access both the text archive and the business profile data mart, to use the query as a basis for extracting data from the text archive and the business profile data mart, and to provide a response that represents data about a participants who conform to business profile data'; 'wherein the text indexing server searches the text archive and the business profile database according to parameters representing keywords in the text archive, contact data in the text archive, and profile data in the profiles database'.

On the other hand, Gottsman et al. disclosed 'collection of text documents generated by participants of the discussion site and broadcasted to multiple participants of the discussion site, 'a text archive for storing the extracted text documents [col 10,

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line 14-21, col 13, line 25-27]; 'a text indexing server operable to index the text archive in accordance with both keywords contained in the text source and in accordance with contact data associated with the participants' [col 13, line 25-33], Gottsman specifically suggests search engine that generates topics and related text documents based on keywords that are logically combined together in the query as detailed in col 13, line 25-33;

'wherein the text indexing server is operable to receive queries from the business enterprise, each query representing a request for information about participants who are discussing a specified product or service' [col 18, line 9-18; "wherein the text indexing server is further operable to access both the text archive and the business profile data mart, to use the query as a basis for extracting data from the text archive and the business profile data mart, and to provide a response that represents data about a participants who conform to business profile data' [col 33, line 9-15, line 35-38], Gottsman specifically teaches customer profile database, product information database extracting data relevant to user-centric content as detailed in col 33, line 64-67;' provide a response that represents data about a participants who conform to business profile data' [col 33, line 25-30];

'wherein the text indexing server searches the text archive and the business profile database according to parameters representing keywords in the text archive, contact data in the text archive, and profile data in the profiles database'[col 17, line 49-56, col 37, line 44-52]

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It would have been obvious to one of the ordinary skill in the art at the time of applicant's invention to incorporate the teachings of Gottsman et al. into global financial services integration system of Schein et al. because both Schein, Gottsman are directed to customer related business, more specifically Gottsman et al. is directed to web-based or internet based shopping that specifically including user defined data structure, and search architecture using simple query [see fig 2, fig 6, col 10, line 14-21, col 13, line 25-35], also Gottsman teaches various databases connected to the internet with the user system for example product information database, customer information data, supplier's web server and like as detailed in fig 10A. Schein et al is directed to a data model structure that integration between business and customer's relationship, specifically banking system and customer's relationship that identifies various needs of the customer for example transactions [col 7, line 63-66, col 8, line 37-47], and both Gottsman et al. and Schein et al. disclosed customers and business relationship.

One of the ordinary skill in the art at the time of applicant's invention to incorporate the teachings of Gottsman et al. into global financial services integration system of Schein et al. because that would have allowed users of Schein to query, conduct research, execute transactions with respect to user access relevant products and services that including extensive planning decisions, financial planning, healthcare, personal and professional development and like as suggested by Gottsman et al. [col 32, line 12-20], thus improving the quality and reliability of the system.

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24. As to claims 5,14, Schein and Gottsman disclosed 'internal data sources are from contact management software operated by the enterprise [see Schein: fig 13,; Gottsman: col 32, line 35-40].

25. As to claims 6, 15, Schein disclosed 'internal data sources are from accounting software operated by the enterprise' [col 11, line 8-11].

26. As to claims 7,16, Gottsman disclosed 'internal data sources are from ERP (enterprise resource planning) software operated by the enterprise' [col 33, line 39-48].

27. As to claim 19, Gottsman disclosed 'wherein the customer profiles system further comprises a query repository for storing predefined queries, and wherein the web serve processes queries to determine if they match any of the stored predefined queries' [col 36, line 30-41].

28. As to claim 22, 28, Gottsman disclosed 'web server further processes queries to determine if they are drill down requests' [col 38, line 29-34].

29. As to claim 23, 29, Gottsman disclosed 'a user profiles database for storing query preferences of the enterprise' [col 34, line 28-39].

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30. As to claim 24, 30, Gottsman disclosed 'a user profiles database for storing output preferences of the enterprise' [col 34, line 44-51].

31. As to claims 31-32, Gottsman disclosed 'generating models of customer purchasing behavior' [col 33, line 33-35] is part of customer profile database element 1060.

**32. *Claims 2 and 11 are rejected under 35 U.S.C. 103(a) as being unpatentable over Schein et al., [hereafter Schein], US Patent No. 6226623, Gottsman et al. [hereafter Gottsman], US Patent No. 6134548 as applied to claims 1 and 10 above, and further in view of Bakalash et al., [hereafter Bakalash], US Patent No. 6434544.***

33. As to Claim 2 and 11, the limitation of this claim has been noted in the above rejection Claim 1,10, however, both Schein, Gottsman do not specifically teach 'OLAP'. On the other hand, Bakalash disclosed 'OLAP' [see Abstract, fig 1,7, col 6, line 56-65, col 8, line 48-58].

It would have been obvious to one of the ordinary skill in the art at the time of applicant's invention to incorporate the teachings of Bakalash et al into global financial services integration system of Schein et al., web based comparison shopping, product

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identification, information of Gottsman et al. because they are directed to customer related business, more specifically Gottsman et al. is directed to web-based or internet based shopping that specifically including user defined data structure, and search architecture using simple query [see fig 2, fig 6, col 10, line 14-21, col 13, line 25-35], also Gottsman teaches various databases connected to the internet with the user system for example product information database, customer information data, supplier's web server and like as detailed in fig 10A. Schein et al is directed to a data model structure that integration between business and customer's relationship, specifically banking system and customer's relationship that identifies various needs of the customer for example transactions [col 7, line 63-66, col 8, line 37-47], while Bakalash directed to on-line electronic commerce information searching operations using web-enabled client [see Bakalash: Abstract, fig 1,7]

One of ordinary skill in the art at the time of applicants' invention to incorporate the teachings of Bakalash et al into Schein, Gottsman et al reference, because that would have allowed users of Schein, Gottsman to implement on-line analytical processing or OLAP operations of Bakalash fig 7 support various advance functions that including maximize query performance of large data volumes, and to reduce the time of partial aggregations that degrades the query response as suggested by Bakalash [col 7, line 5-9] thus improving quality of data and performing fast on-the-fly aggregation in multidimensional data.

***Response to Arguments***

34. Applicant's arguments at page 8-10 filed on 11/2/2005, with respect to Claims 1-2,5-7,10-11,14-16,19,22-24,28-32 have been fully considered, for examiner's response, see discussion below:

At page 9-10, claims 1,10, applicant argues that the indexing performed by the indexing server is based the content of the documents in the text archive, in a manner similar to conventional search engines. However, the indexing server also indexes the text archive according to contact data. This contact data indexing is certainly not conventional. The contact daa is a item of data, such as an email address or name, associated with a person who authored a document in the database. The indexing server also accesses the business profile database.

As to the above argument [a], Schein teaches global financial services integration, more specifically Schein directed to data model that would have both customer profile and business services ie., providing integration support between customers and financial institutions [see Abstrct, col 7, line 63-65], it is also noted that Schein also teaches customer profile based on demographic information [col 8, line 37-43]. It is also noted that Schein specifically teaches network is capable of sending and receiving messages with the help of messaging service agents is part of Schein's data model [col 12, line 31-36]. Schein also teaches service provider supports voice, video, e-mail, fax and like including strcutred and unstructured messages, even though

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Schein does not specifically suggests indexing server accesses information or for example email data. On the other hand, Gottsman disclosed both customer profile database and merchant database connected to a public Internet for example as detailed in fig 17. Gottsman also teaches integrating customer information and supplier or business profile information as detailed in fig 18. It is also noted that Gottsman also specifically teaches content database stores variety of information that including referral, personalized content, satisfaction ratings, product ratings, progress reports and like [col 33, line 16-24]. Gottsman also teaches profile database performs various tasksthat including categorizing the rating of the content for example ndws article, frequency , and statistics of the behaviors from the users [col 36, line 6-14].

### **Conclusion**

#### **The prior art made of record**

- a. US Patent No. 6226623
- b. US Patent. No. 6134548



Any inquiry concerning this communication or earlier communications from the examiner should be directed to Srirama Channavajjala whose telephone number is 571-272-4108. The examiner can normally be reached on Monday-Friday from 8:00 AM to 5:30 PM Eastern Time.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alam, Hosain, T, can be reached on (571) 272-3978. The fax phone numbers for the organization where the application or proceeding is assigned is 571-273- 8300. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free)

SC  
Patent Examiner.  
December 8, 2005.



**SRIRAMA CHANNAVAJJALA**  
**PRIMARY EXAMINER**